



## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of  
Invention

Ebook/Active Reading: Rendering and Capturing Ink  
Annotations

Application Number: 09/455806

Confirmation Number: 5592

First Named Applicant: John Beezer

Attorney Docket Number: 003797.84617

Art Unit: 2171

Examiner: H Thai

Search string: ( 5680636 or 5727129 or 5838914 or 5893132  
or 6049812 or 6195694 or 6199082 or 6486895  
or 6549220 or RE34476 or 5471568 or 5719595  
or 5940080 ).pn.



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Certification: This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

US Patent Documents

11/28/2003 GWORDOF1 00000070 190733 09455806

01 FC:1806 180.00 DA

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	5680636	1997-10-21	Levine et al.		7	—
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<input type="checkbox"/>	10	RE34476	1993-12-14	Norwood
<input type="checkbox"/>	11	5471568	1995-11-28	Webb et al.
<input type="checkbox"/>	12	5719595	1998-02-17	Hoddie et al.
<input checked="" type="checkbox"/>	13	5940080	1999-08-17	Ruehle et al.

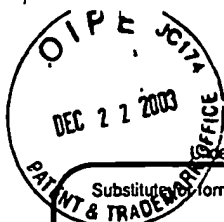
## Remarks

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In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form. Applicants do not waive any right to take appropriate action to establish patentability over the listed document should it be applied as a reference against the claims of the present application. It is respectfully requested that the Examiner fully consider the document, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609. The undersigned certifies under 37 CFR 1.97(e)(2) that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of this information disclosure statement. The references contained in this information disclosure statement were cited by the Examiner in a related application. Accordingly, a single fee of \$180 is believed to be due pursuant to 37 CFR 1.97(d) and 1.17(p) for consideration of this reference. The Office is authorized to charge Deposit Account No. 19-0733 for this fee. If there are any discrepancies regarding this fee, please charge or credit Deposit Account No. 19-0733.

Signature

Examiner Name	Date
<i>Hankel</i>	12/16/04



Substitute Form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 3

### Complete if Known

Application Number	09/455,806
Filing Date	December 7, 1999
First Named Inventor	John L. BEEZER et al.
Art Unit	2776
Examiner Name	H. Thai
Attorney Docket Number	003797.84617

### U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>3</sup> (if known)			
H		US- 5,473,742	12-05-1995	Polyakov et al.	
		US- 5,625,833	04-29-1997	Levine et al.	
		US- 5,729,687	03-17-1998	Rothrock et al.	
		US- 5,832,263	11-03-1998	Hansen et al.	
		US- 6,018,742	01-25-2000	Herbert, III	
		US- 6,054,990	04-25-2000	Tran	
		US- 6,088,481	07-11-2000	Okamoto et al.	
		US- 6,118,437	09-12-2000	Fleck et al.	
		US- 6,128,007	10-03-2000	Seybold	
		US- 6,239,792	05-29-2001	Yanagisawa et al.	
		US- 6,262,719	07-17-2001	Bi et al.	
		US- 6,279,014	08-21-2001	Schilit et al.	
		US- 6,289,362	09-11-2001	Van Der Meer	
		US- 6,335,727	01-01-2002	Morishita et al.	
		US- 6,340,967	01-22-2002	Maxted	
		US- 6,405,221	06-11-2002	Levine et al.	
		US- 6,571,295	05-27-2003	Sidana	
		US-			
		US-			
		US-			

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### FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
H		WO 87/01481	03-12-1987	Stein		
		WO 98/09446	03-05-1998	Ho		
H		WO 96/20908	07-11-1996	Mikitenko et al.		

Examiner  
Signature

*Hanahan*

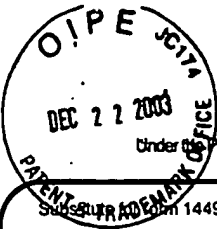
Date  
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 3

## C m p l t If Known

Application Number	09/455,806
Filing Date	December 7, 1999
First Named Inventor	John L. BEEZER et al
Group Art Unit	2776
Examiner Name	H. Thai
Attorney Docket Number	003797.84617

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## OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
HS	1	"Adobe Acrobat 3.0 Reader Online Guide", Adobe Systems, Inc., pages 1-110	
		SOFTBOOK® Press, The Leader in Internet-Enabled Document Distribution and Reading Systems; 1999, <a href="http://www.softbook.com/consumer/reader.asp">http://www.softbook.com/consumer/reader.asp</a>	
	✓	Rocket eBook Using the Rocket eBook; 1999, <a href="http://www.rocketbook.com/Products/Faq/using.html">http://www.rocketbook.com/Products/Faq/using.html</a>	
	✓	Explore the Features of the Rocket eBook; wysiwyg://212http://www.rocketbook.com/Products/Tour/index.html	
	✓	CRESPO, CHANG, and BIER, "Responsive Interaction for a large Web application: the meteor shower architecture in the WebWriter II Editor", Computer Networks and ISDN Systems, pages 1508-1517	
		KUNIKAZU, T., Patent Abstracts of Japan, Publication No. 11327789 for Color Display and Electronic Blackboard System, published 11/30/1999	
	7	Open eBook Forum, Open eBook™ Publication Structure 1.0, Sep. 1999, <a href="http://www.ebxwg.org/oebps/oebps1.0/download/oeb1-oebps.htm">http://www.ebxwg.org/oebps/oebps1.0/download/oeb1-oebps.htm</a>	
	✓	KRISTENSEN, A., "Formsheets and the XML Forms Language" (March 1999)	
	✓	Dublin Core Resource Types: Structurality DRAFT: July 24, 1997, February 27, 1998	
	✓	Dublin Core Metadata Element Set, Version 1.1: Reference Description 1999	
HS	✓	Dublin Core Metadata Initiative: User Guide Working Draft 1998-07-31 1999	

Examiner  
Signature

H. Thai

Date  
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12/16/04

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<sup>1</sup> Unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 2023



PTO/SB/08b(05-03)  
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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Substitute for form 1449A/PTO		<b>Complete If Known</b>	
		Application Number	09/455,806
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Filing Date	December 7, 1999
		First Named Inventor	John L. BEEZER et al
		Group Art Unit	2776
		Examiner Name	H. Thai
		Attorney Docket Number	003797.84617
Sheet	3	of	3

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OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
HT	✓	Computer Networks and ISDN Systems "Responsive interaction for a large Web application: the meteror shower architecture in the WebWriter II Editor"; 1997, pages 1508-1517	
	✓	HIROTSU et al., "Cmew/U - A Multimedia Web Annotation Sharing System", NTT Network Innovation Laboratories - Japan, IEEE, 1999, pages 356-359	
	✓	KUO et al., "A Synchronization Scheme for Multimedia Annotation", Multimedia Information Networking Laboratory, Tamkang University - Taiwan, IEEE, 1997, pages 594-598	
		ahal InkWriter□ The simplicity of pen and paper, the power of word processing., Advertisement, 1993, 2 pp., ahal software corporation, Mountain View, CA	
		ahal InkWriter□ for Magic Cap "The fastest, most convenient way to create faxes, notes and messages." Advertisement, 1993, 1994, 2 pp., ahal software corporation, Mountain View, CA	
		ahal 2.0 for Windows InkWriter□ The power of word processing, the convenience of pen and paper, Advertisement, 1994, 1995, 2 pp., ahal software corporation, Mountain View, CA	
HT		ahal software products, Web Page List of Products, 9/24/97, pp. 1-5, ahal software corporation, Mountain View, CA	

Examiner Signature	<i>H. Thai</i>	Date Considered	12/16/04
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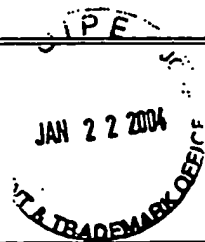
Title of Invention	Ebook/Active Reading: Rendering and Capturing Ink Annotations																																
<p>Application Number: 09/455806</p> <p>Confirmation Number: 5592</p> <p>First Named Applicant: John Beezer</p> <p>Attorney Docket Number: 003797.84617</p> <p>Art Unit: 2171</p> <p>Examiner: H Thai</p> <p>Search string: ( 5437295 or 6018342 or 6647534 ).pn.</p> <p style="text-align: right;"><b>RECEIVED</b> JAN 23 2004 Technology Center 2100</p>																																	
<p><u>Certification:</u> This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:</p> <p>That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.</p>																																	
<p><b>US Patent Documents</b></p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td>BT</td><td>1</td><td>5437295</td><td>1994-09-13</td><td>Agulnick et al.</td><td></td><td>—</td><td>—</td></tr><tr><td>BT</td><td>2</td><td>6018342</td><td>2000-01-25</td><td>Bristor</td><td></td><td>—</td><td>—</td></tr><tr><td>BT</td><td>3</td><td>6647534</td><td>2003-11-11</td><td>Graham</td><td></td><td>—</td><td>—</td></tr></tbody></table>		init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	BT	1	5437295	1994-09-13	Agulnick et al.		—	—	BT	2	6018342	2000-01-25	Bristor		—	—	BT	3	6647534	2003-11-11	Graham		—	—
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the above-captioned application. The information is identified on the attached PTO 1449 form. Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application. It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609. The undersigned certifies under 37 CFR 1.97(e)(2) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. Applicants believe that no fee is necessary pursuant to 37 CFR 1.97(b). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

Signature

Examiner Name	Date
<i>Hanulthorn</i>	12/16/04

**INFORMATION DISCLOSURE  
CITATION**  
Sheet 1 of 1



Attorney Docket No.  
003797.84617

Serial No.  
09/455,806

Applicant(s): John L. Beezer et al.

Filing Date: December 7, 1999

Group: 2776

**U.S. PATENT DOCUMENTS**

Examiner Initial	Patent No.	Date	Name	Class	Subclass	Filing Date (if appropriate)

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**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document No.	Date	Country	Class	Subclass	Translation	
						YES	NO
HS	EP 0 902 379 A2	03/1999	Europe	—	—		

**OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)**

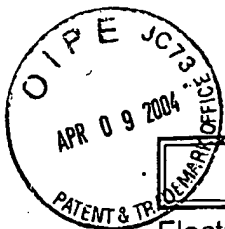

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*Hankhan*

DATE CONSIDERED

*12/16/04*

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or 6266772 or 6163778 or 6038598 ).pn.



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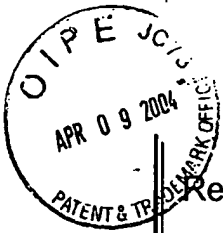
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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
HT	1	6697997	2004-02-24	Fujimura			
HT	2	6585776	2003-07-01	Bates et al.			
HT	3	6457013	2002-09-24	Saxton et al.			
	4	6370497	2002-04-09	Knowles			
	5	6266772	2001-07-24	Suzuki			
	6	6163778	2000-12-19	Fogg et al.			
HT	7	6038598	2000-03-14	Danneels			



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<i>Paul H. H. H.</i>	12/16/04

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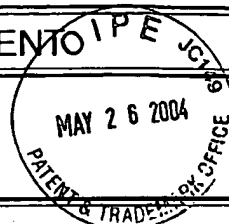
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Title of Invention

Ebook/Active Reading: Rendering and Capturing Ink Annotations

Application Number: 09/455806   
 Confirmation Number: 5592  
 First Named Applicant: John Beezer  
 Attorney Docket Number: 003797.84617  
 Art Unit: 2171  
 Examiner: H Thai  
 Search string: ( 5822720 ).pn.

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Certification: This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5822720	1998-10-13	Bookman et al.			

## Remarks

Note: Remarks are not for responding to an office action.

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form. Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application. It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609. The undersigned certifies under 37 CFR 1.97(e)(2)

that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. The references contained in this information disclosure statement were cited by the Examiner in a related application. Applicants believe that no fee is necessary pursuant to 37 CFR 1.97(b). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

Signature

Examiner Name	Date
<i>Hanulthai</i>	<i>12/16/04</i>

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## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

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Examiner Name	Date
<i>Hawthorne</i>	12/16/04